



## **Appendix: Supplementary documents**

1. Authority File Comparison Rules (NACO Normalization)
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3. LC Literary Author (053) Request Form
4. Glossary of PCC-related terms and abbreviations



# Authority File Comparison Rules

## (NACO Normalization)

(9/16/98, revised Feb. 09 2001)

When a new authority record is added to an authority file, each heading is compared against the headings in the file to determine whether the new headings are unique, i.e., adequately differentiated from existing headings. The headings already in the file and the one to be added are normalized before comparison so that only certain characters will be allowed to differentiate between headings. The normalization rules for this uniqueness edit are specified in [Appendix A](#). The rules for comparison are given below.

## Rules for Comparison

The following rules apply to all LC/NACO name, LC/NACO series, and LCSH subject (USMARC) 008/11=a) authority records for authorized heading and subdivision records (USMARC 008/09=a, d, or f), but not to reference records (USMARC 008/09=b or c). (LC subject headings for children's literature are also excluded, 008/11=b.)

The files under discussion are built under the rules specified in AACR and in LCSH. The files may be segmented (e.g., name and subject) or combined at a file location. The rules state how to treat the relationships among headings in name authority records and those in subject authority records.

No comparisons are made across name and subject authority records.

The heading strings undergoing comparisons according to these rules are assumed to be normalized according to the attached character normalization table in [Appendix A](#). Comparisons are between tag groups, with the following conventions:

### 1. Name headings. (Tags 100/110/111/130/151)

**1.1** A field 100, 110, 111, 130, 151 may NOT normalize to any field 100, 110, 111, 130, 151 in another record.

**1.2** A field 500, 510, 511, 530, 551 MUST normalize to the same string as a 100, 110, 111, 130, 151 in the same tag group in another record.

**1.3** A field 400, 410, 411, 430, 451 may NOT normalize to the same string as any 100, 110, 111, 130, 151 in the same or another record. (**Note a**)

**1.4** A field 4XX MAY normalize to the same string as another 4XX in the same or another record.

**1.5** A field 7XX is not compared.

**Note a:** If on input, a 4XX normalizes to the same string as a 1XX in the same or another record, then one of the two is qualified.

**Exceptions:** (1) if it is not possible to qualify a conflicting 100 or 400, then the 400 is changed to a 500; (2) when a 4XX is a pre-AACR2 reference, the reference is deleted, since such 4XXs cannot be qualified or changed into 5XXs.

## **2. Subject headings. (Tags 100/110/111/130/151/150/155/180/181/182/185) (Note b)**

**2.1** A field 100, 110, 111, 130, 151 may NOT normalize to any field 1XX in another record. (**Note c**)

**2.2** A field 150, 155, 180, 181, 182, 185 may NOT normalize to the same string in that same tag group in another record.

**2.3** A field 500, 510, 511, 530, 550, 551, 555, 580, 581, 582, 585 MUST normalize to the same string as a 100, 110, 111, 130, 150, 151, 155, 180, 181, 182, 185 in the same tag group in another record.

**2.4** A field 400, 410, 411, 430, 451 may NOT normalize to the same string as any 1XX in the same or another record; a field 450, 455, 480, 481, 482, 485 may NOT normalize to the same string as a 150, 155, 180, 181, 182, 185 in the same tag group, in the same or another record.

**2.5** A field 4XX MAY normalize to the same string as another 4XX in the same or another record.

**2.6** A field 7XX is not compared.

**Note b:** These rules also apply to subject headings for children (008/11) = b) when comparing

within that thesaurus. Headings for children are NOT compared with LCSH headings.

**Note c:** Fields 111 and 130 are strings duplicated from name headings. Records with these headings may contain a reference structure appropriate to subjects. LC does not plan to create 181 headings that conflict with 151 headings (geographic subdivision forms will be recorded in field 781 if appropriate).

# Appendix A

## Normalization Table

(9/16/98, revised Feb. 09 2001)

Character:	Converted Value:	Comments:
LEADING BLANKS	Delete	
TRAILING BLANKS	Delete	
MULTIPLE BLANKS	Blank	Compress to a single blank.
LETTERS		Convert all letters to the same case (upper or lower).
DIACRITICS	Delete	Miagkiy znak, alif, ayn, tverdyi znak, pseudo question mark, grave, acute, circumflex, tilde, macron, breve, superior dot, umlaut or dieresis, hacek, angstrom, ligature, high comma off center, double acute, candrabindu, cedilla, right hook, dot below character, double dot below character, circle below character, double underscore, underscore, left hook, right cedilla, double tilde, high comma centered, middle dot, upadhmaniya

## Translated Characters

Character:	Converted Value:	Comments:
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SUPERScript NUMBERS	Numbers	Convert to non-superscript equivalent.
SUBScript NUMBERS	Numbers	Convert to non-subscript equivalent.
AE DIGRAPH	"AE"	
OE DIGRAPH	"OE"	
CROSSED D	"D"	
ETH	"D"	
TURKISH I	"I"	
POLISH L	"L"	
SCRIPT L	"L"	
HOOKEd O	"O"	
HOOKEd U	"U"	
SLASHed O	"O"	
ICELANDIC THORN	"TH"	
ALPHA	"A"	
BETA	"B"	
GAMMA	"G"	

Punctuation

Character:	Converted Value:	Comments:
!	Blank	
"	Blank	
APOSTROPHE '	Delete	
LEFT PAREN. (	Blank	

RIGHT PAREN. )	Blank	
HYPHEN -	Blank	
LEFT BRACKET [	Delete	
RGT. BRACKET ]	Delete	
LEFT BRACE { (Opening curly bracket)	Blank	
RIGHT BRACE } (Closing curly bracket)	Blank	
LEFT ANGLE BRACKET <	Blank	
RIGHT ANGLE BRACKET >	Blank	
SEMICOLON ;	Blank	
COLON :	Blank	
PERIOD .	Blank	
QUESTION MARK ?	Blank	
INVERTED QUESTION MARK ¿	Blank	
INVERTED EXCLAMATION MARK ¡	Blank	
COMMA ,	", " or Blank	The first comma in the \$a subfield (unless it is a terminal comma) is taken into account. In all other cases commas are converted to blank.

## Other Numbers and Special Characters

Character:	Converted Value:	Comments:
DATES	Numbers	(Retain unchanged.)
ROMAN NUMERALS	Letters	(Retain unchanged.)

NUMBERS	Numbers	(Retain unchanged.)
FLAT SIGN	flat sign	(Retain unchanged.)
SHARP SIGN/HATCH #	#	(Retain unchanged.)
SLASH /	Blank	
BACKWARD SLASH \	Blank	
AT SIGN @	Blank	
AMPERSAND &	&	
ASTERISK *	Blank	
VERTICAL BAR	Delete	
PERCENT %	Blank	
EQUALS =	Blank	
PLUS +	+	Normalization changed from blank to "+" in 9/1998.
PLUS AND MINUS	Blank	
LOGICAL "OR"	Blank	
LOGICAL "NOT"	Blank	
SUPERSCRIPT + - ( )	Blank	
SUBSCRIPT + - ( )	Blank	
PATENT SIGN ®	Blank	
PHONORECORD SYMBOL	Blank	
COPYRIGHT SYMBOL ©	Blank	
DOLLAR SIGN \$	Blank	
BRITISH POUND SIGN £	Blank	





## LC to continue practice of establishing literary author cutter numbers for NACO participants in LC's online shelflist

The Library of Congress will continue the practice of establishing literary author numbers at the request of PCC partner institutions with the implementation of its Integrated Library System.

To briefly describe that process: a NACO institution sends an e-mail or fax request to the Cooperative Cataloging Team and a member of the COOP staff reserves a literary author number in the LC shelflist for each author as requested. The PCC participant then records that number in the 053 of the name authority record. This procedure assures that authorized literary author numbers will be available to all users of LC's bibliographic products for application in their catalogs. The full national authority file is available in OCLC and RLIN.

Before accessing the Literary Author Number [Proposal Form](#), NACO libraries should use LC's online shelflist via the Web for purposes of formulating a LC classification number when requesting an 053 for inclusion in a name authority record. BIBCO libraries may browse the online shelflist to assist in assigning an LC Classification number to bibliographic records they create or update. **Below are instructions for searching:**

After accessing the [LC Online Catalog](#)

- Click on the **COMMAND search** key
- Type in the index code "05XX" and then the classification number to be searched followed by a question mark (truncation mark):

- **Example:** 05XX PQ8180?

For a more specific search put the classification number to be searched in quotes:

- **Example:** 05XX "PQ8180.13?"

In order to search for works entered under uniform titles use the index code "05UT" preceding the class number. It will provide a display which includes the uniform title.

- **Example:** 05UT PQ6329?

Go to: Literary Author Number [Proposal Form](#).

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Go to:

[Program for Cooperative Cataloging Home Page](#)

[Library of Congress Home Page](#)

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<http://www.loc.gov/catdir/pcc/053/053prop.html> (1 of 2) [4/10/2002 3:10:41 PM]

\* Name of cataloger:

\* E-mail:

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Go to:

[PCC Home Page](#)

[CPSO Home Page](#)

[Library of Congress Home Page](#)

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**Library of Congress**

[Library of Congress Help Desk](#) (03/08/02)

## GLOSSARY OF PCC-RELATED TERMS AND ABBREVIATIONS

**AACR2**–Anglo American Cataloging Rules, 2<sup>nd</sup> ed., 1998 revision; NACO participants must apply these rules in conjunction with LC Rule Interpretations

**AACR2 COMPATIBLE**–denotes the coding on an NAR which was in the database before AACR2 rules came into effect, but which was judged to be similar enough to accept in the online catalog without being converted to AACR2 rules. The 008/33 code is d.

**AMICUS**–National Library of Canada’s online database for bibliographic records from over 500 Canadian libraries including the authority records from the NLC; see yellow pages of *MARC 21 Authority Format*, *DCM Z1 Appendix for Canadian Headings*

**BFM**–bibliographic file maintenance; when changing the heading on an existing name authority record, a cataloger must report the change to LC Coop staff if the older heading also appears on existing bibliographic records in the LC database.

**BGN**–Board of Geographic Names; This agency creates the list of geographic names which is used as a standard for LC and NACO libraries in establishing headings for geographic entities.

**BIBCO**–Bibliographic Cooperative portion of the PCC

**BLUE PAGES**--*LC Guidelines Supplement to the MARC 21 Authority Format*–print version known as the **blue pages**; issued by the LC Network Development and MARC Standards Office to show which MARC elements in the white pages are not implemented by the Library of Congress system, and thus cannot be used in PCC records. Suggested filing order for print copies of *MARC 21 Authority Format* used by NACO participants: white pages, blue pages, and then yellow pages pertaining to each MARC field

**BT**–broader term; used in subject authority records to show the next term higher in the hierarchy of LCSH headings

**CATME**–see OCLC

**CDS**–Cataloging Distribution Service of the Library of Congress; publisher and distributor of cataloging documentation and LC database files

**CIP**–Cataloging in Publication; cataloging record based on a galley of an item before it is published; CIP data typically appears on the verso of a title page of published item

**CONFLICT**–a condition to be avoided or resolved in which certain cross references match an established NAR heading, jeopardizing its uniqueness within the database

**CONSER**–the serials component of the PCC

**CPSO**–Cataloging Policy and Support Office of the Library of Congress; this office identifies cataloging standards and publishes cataloging policy documents

**CUTTERS OR CUTTER NUMBERS**–portions of classification numbers established according to the principles of Charles Ammi Cutter (1837-1903) and constructed to fit into the Library of Congress shelflist; in the NACO context, cutter numbers may be requested from the Library of Congress to insert in the 053 field of a NAR for a literary author

**DCM**–Descriptive Cataloging Manual of the Library of Congress; an internal procedural document used by LC catalogers; some portions are prescribed for use in NACO

**DCM Z1**–see **YELLOW PAGES**

**DIVISION OF THE WORLD**–a term used historically in the Library of Congress to reflect the fact that most catalogers specialized in either descriptive rules or subject rules, and divided responsibility for certain entities to be established in the Name Authority File and others to be established in the Subject Authority File by the rules appropriate for each.

**DUPLICATES**–records in which the main headings match, causing a conflict which must be resolved; if the headings are for the same entity, one heading is deleted; if the headings are for two distinct entities, one must be changed to make both unique.

**FAQ**–frequently asked questions; the PCC web site has FAQs to help users find answers to their questions

**FIELD**—a portion of an online record as defined in the MARC 21 Format; fixed fields typically contain very short strings of codes or data; variable fields are longer, and contain data transcribed directly from the item being cataloged

**FIXED FIELD**—see **FIELD**

**FTP**—file transfer protocol; in a NACO context, records created in one location can be transferred electronically to another database using this procedure

**FUNNEL COORDINATOR**—the leader of a **FUNNEL PROJECT** who handles recruitment, communication with members, distribution of documentation, voting for PCC representatives during elections, and often the training and review duties for funnel member institutions

**FUNNEL PROJECTS**—groups of institutions within NACO or SACO which approach training and other program activities in a collective way under the leadership of a **FUNNEL COORDINATOR**, usually because of their similarities in geographic location, topic of collection, or type of format

**FY**—designation for Fiscal Year (e.g., FY00, FY2001), beginning October 1, 2000 and ending September 2001, based on the federal calendar followed by the Library of Congress, which serves as the secretariat for the PCC

**H405**—one of the instruction sheets in the LC Subject Cataloging Manual; H405 is entitled "Establishing Certain Entities in the Name or Subject Authority File"

**HEADING**—a term which may be ambiguous in the NACO and SACO environment; 1) an authority record is often erroneously called a "heading"; 2) the 1xx in an authority record is defined by MARC as the "heading"; 3) an access point used as a main or added entry on a bibliographic record is referred to as a "heading", especially if it's used in a 670 \$b data to justify the use of a form of name as the 1xx or a cross reference on a NAR.

**HEADINGS ALREADY CODED AACR2 OR AACR2 COMPATIBLE**—LCRI 22.3A uses this phrase to denote headings for which an NAR is established already under AACR2 rules or AACR2 compatible conditions (not quite up to AACR2 standards, but so similar that the heading is accepted as is to avoid the work of converting it to AACR2)

**HEADINGS BEING CODED AACR2**–LCRI 22.3A uses this phrase to denote headings for which the cataloger is making a new NAR because none exists; the headings may already appear on bibliographic records

**ILS**–integrated library system; See **LC ILS**

**JUSTIFYING** the heading and references–the practice of giving a citation in the 670 field in an authority record for the forms of a name used as the main heading and for cross references

**LC ILS**–the name given to the Library of Congress’ Integrated Library System (Voyager from Endeavor) which serves as the local system for LC

**LC LIAISON**–or Coop Liaison, is the person at the Library of Congress assigned to a NACO or SACO library to help with questions, and especially to delete authority records or to fix bibliographic records in the LC database, which is possible only for catalogers who work directly in the LC local catalog, or LC ILS.

**LCC**–Library of Congress Classification

**LCCN**–Library of Congress catalogue number

**LCRIs or RIs**–Library of Congress Rule Interpretations to AACR2. NACO participants are required to follow LCRIs in addition to AACR2 in their authority work

**LCSH**–Library of Congress Subject Headings; a hierarchical system of subject headings maintained by LC for use on bibliographic records. Catalogers outside the Library of Congress may contribute new and changed subject headings via SACO

**MARC**–Machine-Readable Cataloging; Standards for the representation and communication of bibliographic and related information in machine-readable form

**MARC 21 AUTHORITY FORMAT**; referred to as **WHITE PAGES** in NACO context; describes and illustrates all currently valid MARC structural elements of authority records, such as the leader, fixed fields, variable fields, subfields and all codes which are defined for these fields. **NOTE:** Since the Library of Congress does not implement all elements described in the white pages of the *MARC 21 AF*, and since the PCC program records follow LC guidelines, participants must refer to the supplements known as the **BLUE PAGES** and **YELLOW PAGES**

when applying the basic document; Suggested filing order for print copies of *MARC 21 Authority Format* used by NACO participants: white pages, blue pages, and then yellow pages pertaining to each MARC field

**NACO**–Name Authority Cooperative Project

**NACO CONTACT**–The person within a NACO institution who is responsible for coordinating NACO activity at that particular institution and for maintaining contact with the LC Coop Team

**NAR, NARS**–name authority records

**NLC**–National Library of Canada; when making a NACO record based on a Canadian imprints, the cataloger must follow instructions in the DCM Z1 yellow pages appendix in the *MARC 21 Authority Format*

**NORMALIZATION**–an automated quality control mechanism used by agreement of NACO partners and utilities to prevent duplicate records and conflicts between records; described in the DCM Z1 Yellow pages, introduction to the *MARC 21 Authority Format*

**NUC**–National Union Catalog; in NACO context, the identification codes for NACO institutions formerly were called NUC codes

**OCLC**–Online Computer Library Center, one of the two major utilities by which NACO participants contribute records to the NACO database; Worldcat is the OCLC's Online Union Catalog, a database of bibliographic and authority records; Passport is the software used to do cataloging in OCLC; PRISM is the terminal emulation for OCLC cataloging; CatME is the software used for cataloging in OCLC; the original module for NACO activity in OCLC requires PRISM commands

**PASSPORT**–see OCLC

**PRISM**–see OCLC

**OPAC**–Online Public Access Catalog

**PCC**–Program for Cooperative Cataloging



**QUALIFIER**—a parenthetical addition to a heading or cross reference to further clarify its identify or to make it unique in the database

**RCCD**—Regional and Cooperative Cataloging Division of the Library of Congress, home division of the Cooperative Cataloging Team

**REFERENCE EVALUATION**—the process of examining and adjusting the heading and cross references in an existing authority record to bring them up to AACR2 standards

**resAnet**—online catalog of bibliographic records of National Library of Canada

**RLG**—Research Libraries Group, one of the two major utilities by which NACO participants contribute records to the NACO database

**RLIN**—Research Library Information Network, now called the RLG Union Catalog

**RT**—Related term; a specialized type of reference on subject headings in LCSH to indicate the topical similarity of headings that are not hierarchically related

**SACO**—Subject Authority Cooperative Program

**SAR, SARS**—series authority records

**SCM**—Subject Cataloging Manual of the Library of Congress

## **SYMBOLS:**

**\$** used in published documentation to depict the delimiter sign which separates subfields in MARC records; chosen because it is seldom used in the content of records and will transfer well in electronic files

**#** used in published documentation to depict a blank space in a MARC record; chosen because it is seldom used in the content of records and will transfer well in electronic files

**TAG**—a numerical label for a defined line of information in a MARC record; part of the content designation scheme to place content of an online record in a standard structure

**TYPE**—a corporate body name containing characteristics which dictate that it be

established as subordinate to a parent body following one of the several patterns for TYPES defined in AACR2 24.13 or 24.18 and the corresponding LCRIs.

**UF**–Use for; a cross reference giving a variant form of a name for which the authorized form is the 1xx in a subject heading in LCSH

**UNDIFFERENTIATED PERSONAL NAME**–a NAR with a 1xx heading which represents more than one author because there is insufficient information to make a unique NAR for each.

**USAGE**–the way the name of an entity actually appears on the item being cataloged; usage is very important in determining the authorized form of a name to become the 1xx in a NAR

**UT**–Uniform title

**VARIANT**–a form of the name not chosen to be the authorized heading, but related in a one-to-one relationship with the 1xx authorized form of name

**W CONTROL SUBFIELD**–or \$w, subfield used in certain references in name authority records to indicate relationships between headings

**WHITE PAGES**–see *MARC 21 Authority Format*

**WORK CAT**–abbreviation often used on templates for authority records to stand for the work being cataloged, or the item in hand

**WORLDCAT**–see OCLC

**XREF**–shorthand used in NACO to denote cross references

**YELLOW PAGES**–*Descriptive Cataloging Manual Z1: Name and Series Authority Records* supplement to the *MARC 21 Authority Format*; also known as **DCM Z1**, or **Z1**; based on the former Z1 section of LC's internal procedural document, the *Descriptive Cataloging Manual* issued by the Cataloging Policy and Support Office to address the content used in creation and update of name and series authority records. Suggested filing order for print copies of *MARC 21 Authority Format* used by NACO participants: white pages, blue pages, and then yellow pages pertaining to each MARC field

**Z1**–See **YELLOW PAGES**